

ATTACHMENT D

REPORTING

SECTION A REPORTING REQUIREMENTS

Required SBA Reports

All SBDC recipients are required to provide reports to SBA. All reports must be filed on time. Failure to do so may result in processing delays for federal funding draw down requests. The following is required:

1. SBDC Quarterly Counseling & Training Reports (EDMIS Summary)
2. Report of Federal Cash Transactions, SF-272 and Financial Status Report, SF-269
3. Semiannual Performance Report
4. Annual Performance Report
5. Economic Impact Data Report
6. Information Transfer Report

Report Description:

1. SBDC Quarterly Counseling & Training Reports (EDMIS Summary)
Due: at the latest, 30 days after completion of the applicable quarter. (Although more frequent reporting cannot be required at this time, SBA is requesting voluntary monthly reporting of all counseling and training data.)

All SBDCs are currently required to utilize the SBDC Private Direct Access Intranet MIS for registering data about clients trained and counseled. All Entrepreneurial Development programs and resources will be required to utilize the Agency's new EDMIS2 or equivalent system when it becomes operational. SBDCs will be notified when EDMIS2 is ready for their use. Current estimates are that it will be operational October 1, 2004. While SBDC resources may choose to continue using their own data collection system for other purposes, the EDMIS2 system must be used to document all SBA funded activities. Programs required to use EDMIS2 include SCORE, SBDCs, WBCs and BICs.

The EDMIS2 system automates SBA's required data collection forms 641 and 888, newly revised and replacing expired forms 641, 641A and 888. These forms collect

core client data across all resource lines as well as program specific data. It is an Internet-based system that features unique data input pages for each program area.

Only designated users with assigned passwords will have the ability to input client data and/or review reports about client activity.

Until notified to do otherwise by SBA, the Lead SBDC must enter the summary reports directly into the SBDC Private Direct Access Intranet Management Information System. Electronic transmission of the data by an SBDC constitutes the SBDC's certification of the transfer date and the data's accuracy. SBA Headquarters, SBA Regional Offices, and SBA District Offices will download the SBDC counseling and training summary reports directly from the SBA/SBDC Private Homepage.

As an added element to the above reports, SBDCs serving more than one SBA District Office must submit a quarterly numerical breakout of clients counseled and trained for each district office. The breakout report must be furnished to the SBA Project Officer 30 days after completion of the applicable quarter. The SBA Project Officer, using the established reporting format, will e-mail the breakout data to the OSBDC EDMIS Manager 35 days after completion of the applicable quarter.

2. Report of Federal Cash Transactions, SF-272 and Financial Status Report, SF-269

Due: 30 days after completion of first 6-month period and Final Report due 90 days after the completion of the budget period (See Attachment C-7)

3. Semiannual Performance Reports Instructions:

Due: 30 days after completion of 6-months of operation

The SBDC should submit an original and **one copy plus an electronic version** of the Semiannual Performance Report to the SBA Project Officer within 30 days after completion of 6 months operation. It is the Project Officer's responsibility to furnish a copy of this report and the electronic version to the OSBDC.

The Semiannual Performance Reports shall contain a listing of the SBDC's major activities and objectives. It should also include a discussion on the progress made toward achieving those objectives.

Unless otherwise notified by SBA, activities should be reported in the following sequence, excluding any activities not proposed in the application, and adding any additional categories as appropriate:

- 0100 ADVOCACY
- 0200 CAPITAL FORMATION
- 0300 INNOVATION AND TECHNOLOGY TRANSFER
- 0400 INTERNATIONAL TRADE
- 0500 MINORITY SMALL BUSINESS DEVELOPMENT

- 0600 RESOURCE DEVELOPMENT
- 0700 PROCUREMENT
- 0800 SPECIAL EMPHASIS GROUPS
- 0900 ECONOMIC DEVELOPMENT
- 1000 RESEARCH
- 1100 OTHER ACTIVITY
- 1200 SUCCESS STORIES
- 1300 TRAVEL
- 1400 PROBLEMS
- 1500 FINANCIAL REPORTS
- 1600 WOMEN-OWNED BUSINESSES
- 1700 ECONOMIC IMPACT – (may be eliminated from Semiannual Performance Reports)
- 1800 VETERAN AND SERVICE CONNECTED-DISABLED VETERAN-OWNED BUSINESSES AND RESERVISTS ON ACTIVE DUTY.

(See Reporting Category Definitions in Section B of this Attachment for further descriptions of information to be included.)

4. Annual Performance Report Instructions:

Due: within 90 days after completion of the budget period - **Failure to submit this report accurately and in a timely manner could jeopardize future funding.**

The SBDC must provide an original and **one copy plus an electronic version** of the annual programmatic report to the SBA Project Officer within 90 days of completion of the budget year. **Unless otherwise notified by SBA**, this report should be in the same format as the semiannual report and should represent the consolidated effort of the entire SBDC network. Third and fourth quarter information should be included as necessary. The SBA Project Officer will review these reports and submit comments on a Grant/Cooperative Agreement Monitoring Statement, a copy of which will be provided to the SBDC State/Region Director and the OSBDC at SBA Headquarters.

The Annual Performance Report should include the following:

- (A) An overall summary of the activities reported in the semiannual report including a description and explanation of objectives in the Cooperative Agreement that were met or exceeded, as well as an explanation of those objectives not fully met;
- (B) A description of any new resources developed by the SBDC;
- (C) Overall observations, difficulties encountered, and recommendations for improving SBDC services; and
- (D) Economic impact data, e.g., jobs created, tax dollars generated, new business start-ups.
- (E) Number and description of informational services, requests and referrals received by the SBDC network that do not count toward counseling and

training. This may include telephone assistance, electronic assistance, or any other assistance with a duration of less than 30 minutes.

5. Economic Impact Data Report

Due: within 90 days after completion of budget period

The SBDC must enter economic impact data electronically into the SBDC MIS within 90 days of completion of its budget year. If the SBDC is funded on the fiscal year, it must collect the data for the fiscal year and input it by December 31; if the SBDC is funded on the calendar year, it must collect the data for the calendar year and input by March 31. In addition to reporting this data electronically, the SBDC must also include this information in its annual report. All SBDC State/Region Directors must ensure they receive this data from all service centers and that the data collected is consistent with the data required in Section B, #1700, of this Attachment.

6. Information Transfer Report:

Due: quarterly, 30 days after completion of the applicable quarter

SBDCs must report quarterly into EDMIS, Information Transfers to small businesses. In order to count and report Information Transfers, each SBDC must maintain a log for documentation purposes. This category may include such items as the use of library resources, the use of computers or software, viewing of business videos, fax-on-demand, information mailings, telephone assistance, electronic assistance, etc. Reporting of these services in addition to counseling and training (30 minute requirements respectively) presents a more complete scope of SBDC activity and use of resources. This data is not considered counseling or training as defined by the SBDC program. (See Definitions in Attachment A).

REPORTING CATEGORY DEFINITIONS

SECTION B

When reporting on any item you are required to include results/impact of activities.

Example: Provided procurement contract matches to 100 clients, of which 50 received awards totaling \$50 million. This moved the state from 49th place to 45th place in receipt of government contracts.

100 ADVOCACY:

Efforts to represent small business interests within the SBDC's jurisdiction to improve the climate for small business and to contribute to the vitality of the small business sector.

Advocacy may include such activities as: public speeches, testimonies before state and/or Federal legislatures, and small business week activities.

200 CAPITAL FORMATION:

Efforts to develop or assist in developing capital for small businesses: e.g., loans, microloans, grants. This may include developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs), and state and local finance programs.

300 INNOVATION AND TECHNOLOGY TRANSFER:

Activities to identify innovation and technology developed by the Federal Government, and/or academic organizations having commercial or practical potential and alerting industry and state and local governments to its availability. Also include efforts toward transferring expertise and equipment available from the Federal Government to the private sector. Activities to transfer innovation and technology from business to business, SBIR activities, and the like should also be included.

Activities with the National Institute of Standards and Technology (NIST), and with the Environmental Protection Agency (EPA) for multi-media pollution prevention, Clean Air Act, and other environmental assistance activities should be thoroughly described.

400 INTERNATIONAL TRADE:

Activities to promote increased export by small businesses. Activities will include providing support to Export Assistance Centers (USEACs), evaluating small business firms' export capabilities, assisting in a client's export related financing needs, providing counseling, training and outreach assistance, partnering with public and private sector organizations involved in

export development, data base development, match services and market research, and participating in World Trade Week.

500 MINORITY SMALL BUSINESS DEVELOPMENT:

Activities which help minorities participate in the free enterprise system. Activities may include working on Asian American initiatives, Black or African-American initiatives, Hispanic American initiatives, Native American initiatives, Native Hawaiian or Pacific Islanders initiatives, assisting 8(a) clients in the developmental stage and other stages, linking minority clients with other assistance opportunities, and conferences.

600 RESOURCE DEVELOPMENT:

Activities which promote and/or develop other funding partners to assist the SBDC in its mission. Activities may include recruiting, developing and overseeing private and public resource organizations/individuals for the purpose of providing business development counseling, training, and outreach efforts.

700 PROCUREMENT:

Activities which foster opportunities for increasing small business' share of procurement dollars spent by the government and private sector. Activities may include conferences, computer matching services, assistance to Certificate of Competency businesses, and prime contractor outreach.

800 SPECIAL EMPHASIS GROUPS:

Activities targeted toward selected groups of entrepreneurs and nascent entrepreneurs. This may include activities that assist people with disabilities, Native Americans, young entrepreneurs, targeted associations, industry groups, displaced manufacturing workers and other groups identified by SBA and/or the SBDC. (Note: Report minority, veteran and service connected-disabled veteran and women activity separately under Minority Small Business Development, Veteran and Service Connected-Disabled Veteran Owned Business, and Women Owned Businesses).

900 ECONOMIC DEVELOPMENT:

General activities that are not specific to an individual client, do not fit in other categories, and are aimed at supporting/strengthening the economic environment in the SBDC's territory. Areas reported on may include Agri-Business, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism, and Incubators.

1000 RESEARCH:

Research efforts aimed toward assisting small business and economic development. Such research may include but is not limited to Data Base Development and Needs Analysis.

1100 OTHER ACTIVITY:

Activities which do not fit in the categories above. The activities may include dissemination of basic business information as well as any specific information requested by the SBA Project Officer and mutually agreed upon with the SBDC State Director.

1200 SUCCESS STORIES:

Provide at least three examples of assistance provided in which tangible results occurred. Include a description of the business, the problems encountered, the assistance provided, resources used, and actual or expected results including economic impact. A signed statement must be kept on file from the success story protagonist of his/her consent for use of the success story by SBA. (SBA can provide a sample form if one is not available locally.)

1300 TRAVEL:

Provide a description of any unplanned or unbudgeted out-of-state travel for Lead and service centers not disclosed in the cooperative agreement.

1400 PROBLEMS:

Provide a description of any and all problems that have significant impact on the program or program objectives.

1500 FINANCIAL REPORTS:

Furnish copies of SF-269 and SF-272, SBA Form 2113 and any requested attachments as required.

1600 WOMEN-OWNED BUSINESSES:

Describe activities targeted to women-owned small business, such as the Women's Network for Entrepreneurial Training (WNET) program, SBA's Prequalification Loan Program, cooperation with the Women's Business Centers, and any seminars or specialized counseling approaches.

1700 ECONOMIC IMPACT:

Provide the economic impact generated from the assistance you have given your clients during the budget year using the following format: (See Section A of this attachment.)

Customer Satisfaction: _____%

Business Start-ups: _____

Start-Up firms remaining in business after one year _____

Jobs: Created _____
 Retained _____

Sales: \$ _____

Taxes: State \$ _____
 Federal \$ _____

Loans: SBA # _____ \$ _____
 Non-SBA # _____ \$ _____

Non-Debt Financing \$ _____

1800 VETERANS, SERVICE CONNECTED-DISABLED VETERAN-OWNED
BUSINESSES AND RESERVISTS ON ACTIVE DUTY:

Describe activities targeted toward veteran and service connected-disabled veteran owned businesses, as well as Reservists and National Guard members called to active duty, such as: Veteran Entrepreneurial Training Programs, summits for veteran business owners, DELTA Program, base closing and RIF counseling.

RECORDKEEPING REQUIREMENTS

SECTION C

All SBDC applicants and their service centers will be required to maintain complete and accurate records and supporting documentation to facilitate a thorough program audit. All significant client counseling, training and other activities shall be fully documented. SBDC applicants will support SBA's required data collection and reporting system.

In addition to the performance, financial, and program reports already mentioned in this announcement, you must maintain the following reports.

Counseling Activity Reports:

All SBDCs are required to collect the information currently requested on SBA Form 641 **or an equivalent form that supports SBA's management information database.**

They are also required to adhere to the following:

Compliance with legislation passed by the Congress and Executive Orders issued by the President, Federal executive agencies, including the Small Business Administration (SBA). Regulations and policies implementing these laws and Executive Orders can be found in Title 13, Code of Federal Regulations (CFR), Chapter 1, or SBA's Standard Operating Procedures (SOPs). In order to provide the required notices, the following is a brief summary of the various laws and Executive Orders that affect SBA's entrepreneurial development programs.

Paperwork Reduction Act (44 U.S.C. § 3501)

SBA is collecting **record keeping** information on form **OMB 83-I** in order to facilitate business assistance services to its clients and for agency analyses related to the operation and management of the entrepreneurial development programs. Periodically, the SBA may use the information collected on this form to produce summary reports for program and management analysis, as required by law. SBA also intends to use the individual client data to select participants for follow-up surveys designed to evaluate SBA assistance services.

PLEASE NOTE: The estimated burden for completing this information is 3 minutes. Your responses to the requested information are voluntary under these programs. You are not required to respond to the questions on this form if it does not display a currently valid OMB control number. If you have questions or comments concerning any aspect of this information, please contact the U.S. Small Business Administration Information Branch, Washington, DC 20416 and/or Desk Officer for the Small Business Administration, Office of Management and Budget, Office of Information Regulatory Affairs, 725 17th St., NW, Washington, DC 20503.

Privacy Act (5 U.S.C. § 552)

Any person can request to see or get copies of any personal information that SBA has in the requestor's file, when that file is retrieved by individual identifiers, such as name or social security number. Requests for information about another party may be denied unless SBA has the written permission of the individual to release the information to the requestor or unless the information is subject to disclosure under the Freedom of Information Act.

Note: Any person concerned with the collection, use and disclosure of information, under the Privacy Act may contact the Chief, Freedom of Information/Privacy Act Office, U.S. Small Business Administration, Suite 5900, 409 3rd St, SW, Washington, DC 20416 for information about the Agency's procedures relating to the Privacy Act and FOIA.

Freedom of Information Act (5 U.S.C. § 552)

This law provides, with some exceptions, that SBA must supply agency records, (i.e., information in its files and records) to a person requesting it. This generally includes statistical data on SBA's business assistance programs, which are in the aggregate. SBA does not routinely make available a client's proprietary data (without first doing pre-notification, as required by Executive Order 12600), or information that would cause competitive harm or constitute a clearly unwarranted invasion of personal privacy.

Address a request under this Act to the appropriate SBA office and identify it as a Freedom of Information Act request. For information about the Freedom of Information Act, contact Chief, Freedom of Information/Privacy Act Office, U.S. Small Business Administration, 409 3rd St., SW, Suite 5900, Washington, DC 20416.

Agreement:

"I request business management counseling from a Small Business Administration resource partner, the Small Business Development Center. I agree to cooperate should I be selected to participate in surveys designed to evaluate SBA assistance services. I understand that any information received by an SBA resource partner counselor will be held in strict confidence by the counselor to the extent allowable by law.

I further understand that SBA resource partner counselors have agreed not to: (1) recommend goods or services from sources in which the individual counselor has an

interest; and (2) accept fees or commissions developing from any SBA resource partner counselors. In consideration of the provision of management and/or technical assistance by a resource partner counselor, I agree to waive all claims arising out of this assistance, against SBA personnel, the resource partner from whom I sought assistance, its host organizations, and the counselor(s) arising from this assistance."

These forms shall be retained in accordance with current OMB and SBA requirements.

SBDCs are responsible for reporting all counseling activities on SBA Form 1062, "Business Development Counseling Record," or SBA Form 641, "Counseling Information Form" or an equivalent form that supports SBA's management information database. Copies of these forms must be retained at the SBDC and available for review by the SBA. An electronic version of these forms may also be used as long as the data elements are the same.

Training Activity Reports:

SBDCs will utilize SBA Form 888, "Management Training Report" or similar program developed form to report small business management training activities. The SBA Form 888 should be prepared by the SBDC when the SBDC is responsible for managing a training activity. All Form 888s must be approved by the SBA Project Officer before inclusion in the SBDC Training Report submitted to SBA. SBDCs use of the computerized version is acceptable.

In lieu of the above requirement and if agreed upon by the District Director, SBA Project Officer, and State/Region Director, a quarterly summary of training events including the number of attendees, number of hours training was conducted, date of training, the names of co-sponsors if any, and training topics can be submitted to the SBA Project Officer no later than 30 days after the end of each quarter. In case of less than 6 attendees, the justification must be explicit. The list must be certified with the signature of the State/Region Director. The SBA Form 888 or similar program developed form must be maintained at the SBDC for review by the SBA Project Officer.

SBDC Client Evaluation Forms:

Evaluations must be collected from SBDC clients who receive continuous counseling or attend an SBDC training event. All SBDCs should develop internal procedures to ensure that these evaluations are performed on a regular basis and retain this document on file.

Two OMB-approved forms may be used for this purpose. SBA Form 1419 "SBDC Counseling Evaluation" (OMB #3245-0183) may be used for counseling evaluations, and SBA Form 20 "National Training Participant Evaluation Questionnaire" (OMB #3245-0075) may be used for training. Additionally, SBDCs may utilize a modified form of SBA Form 20, "Training

Evaluation", provided that the form is designed to capture the pertinent information on training needed. Computerized versions of these forms are also acceptable.